

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

GIC-562

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/856234

INTERNATIONAL APPLICATION NO.
PCT/US99/25973INTERNATIONAL FILING DATE
04 November 1999PRIORITY DATE CLAIMED
04 December 1998TITLE OF INVENTION IMPROVEMENT OF FINE GRANULARITY SCALABILITY USING
BIT PLANE CODING OF TRANSFORM COEFFICIENTS

APPLICANT(S) FOR DO/EO/US

Fan LING

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - a. Express Mail Certificate
 - b. Patent Application Data Entry Form - 1 sheet
 - c. Patent Application Specification, including claims and Abstract - 30 sheets
(copy for U.S. examination - incorporates amendments made to the claims August 2, 2000 and to the specification November 6, 2000)
 - d. Four (4) sheets of formal drawings, together with separate transmittal letter

09856234-051301

U.S. APPLICATION NO. (if known) sec. 1.137 (1) 09/856234		INTERNATIONAL APPLICATION NO. PCT/US99/25973		ATTORNEY'S DOCKET NUMBER GIC-562	
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<p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1000.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00</p> <p style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:20%;">RATE</th> <th style="width:20%;">\$</th> </tr> <tr> <td>Total claims</td> <td>22 - 20 =</td> <td>2</td> <td>x \$18.00</td> <td>\$ 36.00</td> </tr> <tr> <td>Independent claims</td> <td>5 - 3 =</td> <td>2</td> <td>x \$80.00</td> <td>\$ 160.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$270.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 296.00</td> </tr> <tr> <td colspan="4"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. </td> <td>\$ ---</td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL =</td> <td>\$ 296.00</td> </tr> <tr> <td colspan="4">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td> <td>\$ ---</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE =</td> <td>\$ 296.00</td> </tr> <tr> <td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +</td> <td>\$ 40.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL FEES ENCLOSED =</td> <td>\$ 336.00</td> </tr> <tr> <td colspan="4"></td> <td>Amount to be refunded: \$</td> </tr> <tr> <td colspan="4"></td> <td>charged: \$</td> </tr> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	22 - 20 =	2	x \$18.00	\$ 36.00	Independent claims	5 - 3 =	2	x \$80.00	\$ 160.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$270.00	TOTAL OF ABOVE CALCULATIONS =				\$ 296.00	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ ---	SUBTOTAL =				\$ 296.00	Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ ---	TOTAL NATIONAL FEE =				\$ 296.00	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	TOTAL FEES ENCLOSED =				\$ 336.00					Amount to be refunded: \$					charged: \$	<p style="text-align: center;">CALCULATIONS PTO USE ONLY</p>	
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a. ☒ A check in the amount of \$ 336.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50-0625. A duplicate copy of this sheet is enclosed.


d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card**
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Barry R. Lipsitz
Law Offices of Barry R. Lipsitz
755 Main Street, Building No. 8
Monroe, CT 06468
(203) 459-0200

Date: 18 May 2001


SIGNATURE
Barry R. Lipsitz
NAME
28,637
REGISTRATION NUMBER

Express Mail No.: EL 827 616 169 US

09856234 051801

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Fan LING)
International Application No.: PCT/US99/25973)
U.S. Filing Date: Herewith)
Title: IMPROVEMENT OF FINE GRANULARITY SCALABILITY USING BIT PLANE CODING OF TRANSFORM COEFFICIENTS)

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" Mailing Label No: EL 827 616 169 US Date of Deposit: May 18, 2001.

I hereby certify that the attached:

- [x] Check in the amount of \$336.00
- [x] PTO Form 1390 - *Transmittal Letter to the U.S. Elected Office Concerning a Filing Under 35 U.S.C. 371 -- 2 sheets*
- [x] Patent Application Data Entry Form - 1 sheet
- [x] Declaration and Power of Attorney - 2 sheets
- [x] Assignment, together with separate transmittal form PTO-1595 - 3 sheets
- [x] Patent Application Specification, including claims and Abstract - 30 sheets (examination copy for U.S. - incorporates amendments made to the claims August 2, 2000 and to the specification on November 6, 2000)
- [x] Four (4) sheets of formal drawings, together with separate transmittal letter

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, D.C. 20231

Cathy Dunne

Typed or printed name of person mailing paper or fee

Cathy Dunne

Signature of person mailing paper or fee

Respectfully submitted,

Barry R. Lipsitz

Barry R. Lipsitz
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Registration No. 28,637
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Date: May 18, 2001
Attorney Docket No.: GIC-562